



#  
✓

### Certificate of Mailing 37 C.F.R. §1.8(a)

Thereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Name of Person Signing Certificate: \_\_\_\_\_

Renee Conti

Date

April 20, 2004

Signature

Renee Conti

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: Nanning J. Arfsten

§

§

§

Conf. No.: 9955

§

§

§

Appln. No.: 10/616,663

§

§

§

Filing Date: July 10, 2003

§

§

Title: METHOD OF MAKING STRESS-RESISTANT ANTI-REFLECTION MULTILAYER COATINGS CONTAINING CERIUM OXIDE

### INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97(b)

Enclosed are copies of each of the non-U.S. documents listed on the attached Information Disclosure Citation Form(s) PTO/SB/08A, which may be material to the patentability of this application and/or for which there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

In accordance with the official waiver posted July 11, 2003, wherein the U.S. Patent and Trademark Office officially waives the requirement under 37 C.F.R. § 1.98(a)(2)(i) for submitting copies of each cited U.S. Patent and U.S. Patent Application Publications with respect to applications filed after June 30, 2003, we have not included copies of such cited U.S. Patent and U.S. Patent Application Publications. However, we will provide copies upon request.

The filing of this Information Disclosure Statement shall not be construed as an admission that any of the listed documents constitutes prior art, nor as an admission against interest in any manner.

Also enclosed is our check in the amount of \$180.00 pursuant to 37 C.F.R. §1.97(c)(2)

04/23/2004 FFAHAEIA 00000075 10616663

01 FC:1806

180.00 00


Also enclosed is our check in the amount of \$180.00 pursuant to 37 C.F.R. §1.97(c)(2) and 37 C.F.R. §1.17(p). The Commissioner is hereby authorized to charge any deficiencies or credit any overpayments to Deposit Account No. 50-1017.

It is respectfully requested that this Information Disclosure Statement and the documents listed on the attached Form PTO/SB/08A be considered and acknowledged by the Examiner in connection with the above-identified patent application, be made of record therein, and that the listed document(s) be cited in the issued patent.

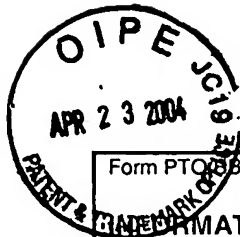
Respectfully submitted,

**NANNING J. ARFSTEN**

April 20, 2004  
(Date)

  
\_\_\_\_\_  
**SANDRA M. KATZ**  
Registration No. 51,864  
**AKIN GUMP STRAUSS HAUER & FELD LLP**  
One Commerce Square  
2005 Market Street, Suite 2200  
Philadelphia, PA 19103-7013  
Telephone: 215-965-1200  
**Direct Dial: 215-965-1344**  
Facsimile: 215-965-1210  
E-Mail: skatz@akingump.com

LLC/SMK:rc  
Enclosures



Form PTO 88/08A		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Application Number</b>	10/616,663
		<b>Filing Date</b>	July 10, 2003
		<b>First Named Inventor</b>	Nanning J. Arfsten
		<b>Group Art Unit</b>	2872
		<b>Examiner Name</b>	Michael E. Barr
<b>Sheet</b>	1	<b>of</b>	4
		<b>Attorney Docket Number</b>	275-11U1

U.S. PATENT DOCUMENTS				
Exr Initials	U.S. Patent Document		Name of First Inventor of Cited Document	Date of Publication of Cited Document MM-YYYY
	Number	Kind Code (if known)		
	3,078,693		Lytle	02-1963
	3,305,336		Browne et al.	02-1967
	3,415,677		Moser et al.	12-1968
	3,934,961		Itoh et al.	01-1976
	3,984,581		Dobler et al.	10-1976
	4,240,816		McMaster et al.	12-1980
	4,260,222		Kozawa	04-1981
	4,271,210		Yoldas	06-1981
	4,771,167		Boulos et al.	09-1988
	4,806,220		Finley	02-1989
	4,927,239		Melzig et al.	05-1990
	4,936,653		Schemmel et al.	06-1990

FOREIGN PATENT DOCUMENTS						
Exr Initials	Foreign Patent Document			Name of Applicant of Cited Document	Date of Publication of Cited Document MM-YYYY	T <sub>1</sub>
	Country Code	Number	Kind Code (if known)			
	SU	823,331	B	Educ Estab Des	04-1981	*
	JP	58-011772	A	Suwa Seikosha KK	01-1983	*
	JP	61-189501		Nippon Sheet Glass Co. Ltd.	08-1986	*
	JP	02-021858	A	Watanabe Akira et al.	01-1990	
		* English Language Abstract Only				

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
Exr Initials	Include Name of first Author (in CAPITAL LETTERS), title of the article (where appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), volume-issue number(s), page(s), date (in parentheses). If a book, also include publisher and city and/or county where published.			T <sub>1</sub>
	SCHROEDER, "Oxide Layers Deposited From Organic Solutions," <i>Physics of Thin Films</i> , 5, pp. 87-141, (1969).			
	ÖZER, et al., "Preparation and Properties of Spin-Coated Nb <sub>2</sub> O <sub>5</sub> Films by the Sol-Gel Process for Electrochromic Applications," <i>Thin Solid Films</i> , Vol. 277, pp. 162-168, (1996).			
	PARRAUD, et al., "Stabilization and Characterization of Nanosized Niobium and Tantalum Oxide Sols - Optical Applications For High-Power Laser," <i>J. Am. Ceram. Soc.</i> , 75:8, pp. 2289-2292, (1992).			
Examiner Signature			Date Considered	

T<sub>1</sub> - Place a check mark if complete document is in English; otherwise, place a letter "A" if only an English abstract is attached.

Form PTO/SB/08A		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Application Number</b>	10/616,663
		<b>Filing Date</b>	July 10, 2003
		<b>First Named Inventor</b>	Nanning J. Arfsten
		<b>Group Art Unit</b>	2872
		<b>Examiner Name</b>	Michael E. Barr
<b>Sheet</b>	2	<b>of</b>	4
		<b>Attorney Docket Number</b>	275-11U1

U.S. PATENT DOCUMENTS				
Exr Initials	U.S. Patent Document		Name of First Inventor of Cited Document	Date of Publication of Cited Document MM-YYYY
	Number	Kind Code (if known)		
.	5,028,759		Finley	07-1991
	5,059,295		Finley	10-1991
	5,073,451		Iida et al.	12-1991
	5,089,743		Okuda et al.	02-1992
	5,248,545		Proscia	09-1993
	5,254,392		Burns et al.	10-1993
	5,267,081		Pein	11-1993
	5,362,552		Austin	11-1994
	5,372,874		Dickey et al.	12-1994
	5,399,435		Ando et al.	03-1995
	5,450,238		Bjornard et al.	09-1995
	5,460,888		Hashimoto et al.	10-1995

FOREIGN PATENT DOCUMENTS						
Exr Initials	Foreign Patent Document			Name of Applicant of Cited Document	Date of Publication of Cited Document MM-YYYY	T <sub>1</sub>
	Country Code	Number	Kind Code (if known)			
	EP	0 436 741	A1	Asahi Glass Company Ltd.	07-1991	
	EP	0 515 847	A2	Central Glass Company, Ltd.	12-1992	
	EP	0 586 050	A1	Nikon Corporation	03-1994	
	JP	06-192598		Asahi Glass	07-1994	
	FR	2 730 990		Anderson et al.	08-1996	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS		
Exr Initials *	Include Name of first Author (in CAPITAL LETTERS), title of the article (where appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), volume-issue number(s), page(s), date (in parentheses). If a book, also include publisher and city and/or county where published.	T <sub>1</sub>
	SEMPERE, et al., "SiO <sub>2</sub> -Nb <sub>2</sub> O <sub>5</sub> Thin Films Using Sol-Gel Technology," <i>J. Non-Crystalline Solids</i> , Vol. 147-148, pp. 499-502, (1992).	
	ÖZER, et al., "Optical and Electrochemical Characteristics of Niobium Oxide Films Prepared by Sol-Gel Process and Magnetron Sputtering A Comparison," <i>Solar Energy Materials and Solar Cells</i> , Vol. 40, pp. 285-296, (1996).	
	LEE, et al., "Electrochromic Nb <sub>2</sub> O <sub>5</sub> and Nb <sub>2</sub> O <sub>5</sub> /Silicone Composite Thin Films Prepared by Sol-Gel Processing." <i>J. Mater. Chem.</i> , 1:3, pp. 381-386, (1991).	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

Form PTO/SB/08A		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Application Number</b>	10/616,663
		<b>Filing Date</b>	July 10, 2003
		<b>First Named Inventor</b>	Nanning J. Arfsten
		<b>Group Art Unit</b>	2872
		<b>Examiner Name</b>	Michael E. Barr
<b>Sheet</b>	3	<b>of</b>	4
		<b>Attorney Docket Number</b>	275-11U1

U.S. PATENT DOCUMENTS				
Exr Initials	U.S. Patent Document		Name of First Inventor of Cited Document	Date of Publication of Cited Document MM-YYYY
	Number	Kind Code (if known)		
.	5,552,180		Finley et al.	09-1996
	5,563,734		Wolfe et al.	10-1996
	5,580,819		Li et al.	12-1996
	5,677,002		Kirlin et al.	10-1997
	5,728,456		Adair et al.	03-1998
	5,744,243		Li et al.	04-1998
	5,876,854		Kawazu et al.	03-1999
	5,891,556		Anderson et al.	04-1999
	5,912,045		Eisenhammer et al.	06-1999
	5,948,481		Yan et al.	09-1999
	6,066,401		Stilburn	05-2000

FOREIGN PATENT DOCUMENTS						
Exr Initials	Foreign Patent Document			Name of Applicant of Cited Document	Date of Publication of Cited Document MM-YYYY	T <sub>1</sub>
	Country Code	Number	Kind Code (if known)			
	JP	11-54053			2-1999	
	EP	0 942 316	A2	Bayer AG	09-1999	
	EP	0 953 550	A1	Nippon Sheet Glass Co., Ltd.	11-1999	
	EP	0 728 712	B1	Anderson et al.	04-2000	**
		** Claims Only				

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			T <sub>1</sub>
Exr Initials	Include Name of first Author (in CAPITAL LETTERS), title of the article (where appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), volume-issue number(s), page(s), date (in parentheses). If a book, also include publisher and city and/or county where published.		
	GREISMAR, et al., "Sol-Gel Route to Niobium Pentoxide," <i>Chem. Mater.</i> , Vol. 3, pp. 335-339, (1991).		
	OHTANI, et al., "Electrochromism of Niobium Oxide Thin Films Prepared by the Sol-Gel Process," <i>J. Electrochem. Soc.</i> , 141:9, pp. 2439-2442, (1994).		
	HERRMANN, "Quarterwave Layers: Simulation by Three Thin Layers of Two Materials," <i>Applied Optics</i> , 24:8, pp. 1183-1188, (1985).		

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

Form PTO/SB/08A				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	
				10/616,663	
				Filing Date	
				July 10, 2003	
				First Named Inventor	
		Nanning J. Arfsten			
Group Art Unit		2872			
Examiner Name		Michael E. Barr			
Attorney Docket Number		275-11U1			
Sheet	4	of	4		

U.S. PATENT DOCUMENTS				
Exr Initials	U.S. Patent Document		Name of First Inventor of Cited Document	Date of Publication of Cited Document MM-YYYY
	Number	Kind Code (if known)		
	6,067,189		Gillich	05-2000
	6,068,914		Boire et al.	05-2000
	6,074,730		Laird et al.	06-2000
	6,120,891		Balkus et al	09-2000
	6,157,490		Wheatley et al	12-2000
	6,166,855		Ikeyama et al.	12-2000
	6,235,398	B1	Nakamura et al.	05-2001
	6,238,781	B1	Anderson et al.	05-2001
	2001/0018393	A1	Nagashima et al.	08-2001
	2002/0030882	A1	Vitt et al.	03-2002
	6,410,173		Arfsten et al.	06-2002
	2002/0122962	A1	Arfsten et al.	09-2002
	2002/0155226	A1	Arfsten et al.	10-2002
	6,656,522	B2	Arfsten et al.	12-2003

FOREIGN PATENT DOCUMENTS						
Exr Initials	Foreign Patent Document			Name of Applicant of Cited Document	Date of Publication of Cited Document MM-YYYY	T <sub>1</sub>
	Country Code	Number	Kind Code (if known)			

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS		
Exr Initials	Include Name of first Author (in CAPITAL LETTERS), title of the article (where appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), volume-issue number(s), page(s), date (in parentheses). If a book, also include publisher and city and/or county where published.	T <sub>1</sub>

Examiner Signature		Date Considered	
--------------------	--	-----------------	--